

02/21/2002
JC966 U.S. PTOJC971 U.S. PTO
02/21/02**UTILITY PATENT APPLICATION TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 003932.P018
(maximum 12 characters)First Named Inventor Larry Paul HeckTitle: A METHOD AND SYSTEM FOR IMPROVING ROBUSTNESS IN A SPEECH SYSTEMExpress Mail Label No. EL617184517USADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, D. C. 20231**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. **Fee Transmittal Form (e.g., PTO/SB/17)**
(Submit an original and a duplicate for fee processing)
2. **Applicant Claims Small Entity Status. (37 CFR 1.27)**
3. **Specification (Total Pages 22)**
(preferred arrangement set forth below)
 - Descriptive Title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. **Drawings(s) (35 USC 113) (Total Sheets 3)**
5. **Oath or Declaration (Total Pages 5)**
 - a. Newly Executed (Original or Copy)
 - b. Copy from a Prior Application (37 CFR 1.63(d))
(for Continuation/Divisional with Box 18 completed)
 - i. **DELETIONS OF INVENTOR(S)** Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
 - c. Unsigned.
6. **Application Data Sheet. (37 CFR 1.76)**
7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper
 - c. Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. **Assignment Papers (cover sheet & documents(s))**

10. a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)

11. b. Power of Attorney

12. English Translation Document (if applicable)

13. a. Information Disclosure Statement (IDS)/PTO-1449

14. b. Copies of IDS Citations

15. **Preliminary Amendment**

16. **Return Receipt Postcard (MPEP 503) (Should be specifically itemized)**

17. Certified Copy of Priority Document(s) (if foreign priority is claimed)

18. **Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.**

19. Other: Copy of Postcard w/Express Mail Stamp.

20. Pursuant to 37 C.F.R. 1.136(a)(3), applicant(s) hereby request and authorize the U.S. Patent and Trademark Office to (1) treat any concurrent or future reply that requires a petition for extension of time as incorporating a petition for extension of time for the appropriate length of time and (2) charge all required fees, including extension of time fees and fees under 37 C.F.R. 1.16 and 1.17, to Deposit Account No. 02-2666.

21. **If a CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet Under 37 C.F.R. 1.76:

Continuation Divisional Continuation-in-part (CIP)
Of Prior Application No.: _____ Examiner Group Art Unit _____
 (which is a continuation/ divisional/ CIP of prior application no. _____,
 which is a continuation/ divisional/ CIP of prior application no. _____) (List entire chain of priority)

Applicant(s): Also include a Preliminary Amendment to amend the specification to claim priority.
For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

22. **Statement under 37 CFR 3.73(b) for continuing application:**

The undersigned states that _____ (name of assignee) is the assignee of the entire right, title, and interest in the accompanying patent application by virtue of an assignment recorded in the Patent and Trademark Office at Reel. No. _____ Frame No. _____ (or a copy of which is attached).

23. **Correspondence Address**
 Customer Number or Bar Code Label _____
 or _____ (Insert Customer No. or Attach Bar Code Label
 here)
 Correspondence Address Below
 NAME Sanjeet K. Dutta
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
 ADDRESS 12400 Wilshire Boulevard
Seventh Floor
 CITY Los Angeles STATE California ZIP CODE 90025-1026
 Country U.S.A. TELEPHONE (408) 720-8300 FAX (408) 720-8383

Name (PRINT/TYPE): Sanjeet K. Dutta Registration No.: 46,145
 Signature: Sanjeet Dutta Date: 2/21/02

REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)

First Named Inventor Larry Paul HeckTitle A METHOD AND SYSTEM FOR IMPROVING ROBUSTNESS IN A SPEECH SYSTEMAttorney Docket No. 003932.P018

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

2/21/02

Date

Sanjeet Dutta

Signature

Sanjeet K. Dutta

Typed or Printed Name

46,145

Registration No.

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months after the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Send to: Assistant Commissioner for Patents, Washington, D.C. 20231

FEE TRANSMITTAL FOR FY 2002

TOTAL AMOUNT OF PAYMENT (\$) \$1,176.00

Complete if Known:

Application No. Not AssignedFiling Date HerewithFirst Named Inventor Larry Paul HeckGroup Art Unit Not AssignedExaminer Name Not AssignedAttorney Docket No. 003932.P018

METHOD OF PAYMENT (check one)

1. The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:Deposit Account Number 02-2666Deposit Account Name [] Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17[] Applicant claims small entity status. See 37 CFR 1.272. Payment Enclosed: Checks (\$1,136.00 & \$40.00)

Other

FEE CALCULATION

1. BASIC FILING FEELarge Entity Small Entity

Fee Fee Fee Fee

Code (\$) Code (\$) Fee Description

101	740	201	370	Utility application filing fee
106	330	206	165	Design application filing fee
107	510	207	255	Plant filing fee
108	740	208	370	Reissue filing fee
114	160	214	80	Provisional application filing fee

Fee Paid

740.00SUBTOTAL (1) \$ 740.002. EXTRA CLAIM FEESExtra Claims

Fee from

below

Fee Paid

Total Claims 28 - 20** = 8 X \$18.00 = \$144.00Independent Claims 6 - 3** = 3 X \$84.00 = \$252.00

Multiple Dependent

**Or number previously paid, if greater; For Reissues, see below.

Large Entity Small Entity

Fee Fee Fee Fee

Code (\$) Code (\$) Fee Description

103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) \$ 396.00

FEE CALCULATION (continued)

3. ADDITIONAL FEES

<u>Large Entity</u>	<u>Small Entity</u>	<u>Fee Description</u>	<u>Fee Paid</u>
Fee Code	Fee (\$)	Fee Code (\$)	
105	130	205	65
127	50	227	25
139	130	139	130
147	2,520	147	2,520
099	8,800	099	8,800
112	920*	112	920*
113	1,840*	113	1,840*
115	110	215	55
116	400	216	200
117	920	217	460
118	1,440	218	720
128	1,960	228	980
119	320	219	160
120	320	220	160
121	280	221	140
138	1,510	138	1,510
140	110	240	55
141	1,280	241	640
142	1,280	242	640
143	460	243	230
144	620	244	310
122	130	122	130
123	50	123	50
126	180	126	180
581	40	581	40
146	740	246	370
148	110	248	55
149	740	249	370
179	740	279	370
169	900	169	900
195	300	195	300
196	300	196	300
194	130	194	130
098	130	098	130
091	1,280	091	1,280
Acceptance of unintentionally delayed claim for priority			40.00

Other fee (specify) _____

Other fee (specify) _____

SUBTOTAL (3) \$40.00

*Reduced by Basic Filing Fee Paid

SUBMITTED BY:

Typed or Printed Name: Sanjeet K. Dutta

Signature: Sanjeet Dutta Date: 2/21/02

Reg. Number: 46,145 Telephone Number: (408) 947-8200

EXPRESS MAIL CERTIFICATE OF MAILING

"Express Mail" mailing label number: EL617184517US

Date of Deposit: February 21, 2002

I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, D. C. 20231

~~Geneva Walls~~

(Typed or printed name of person mailing paper or fee)

(Signature of person mailing paper or fee)

February 21, 2002

(Date signed)

Serial/Patent No.: **** Filing/Issue Date: Herewith
 Client: Nuance Communications
 Title: A METHOD AND SYSTEM FOR IMPROVING ROBUSTNESS IN A SPEECH SYSTEM
 BSTZ File No.: 003932.P018 Atty/Secty Initials: JMB/SKD/gw
 Date Mailed: February 21, 2002 Docket Due Date: ***
 The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

Amendment/Response (____ pgs.)

Appeal Brief (____ pgs.) (in triplicate)

Application - Utility (22 pgs., with cover and abstract)

Application - Rule 1.53(b) Continuation (____ pgs.)

Application - Rule 1.53(b) Divisional (____ pgs.)

Application - Rule 1.53(b) CIP (____ pgs.)

Application - Rule 1.53(d) CPA Transmittal (____ pgs.)

Application - Design (____ pgs.)

Application - PCT (____ pgs.)

Application - Provisional (____ pgs.)

Assignment and Cover Sheet

Certificate of Mailing (**Express Mail**)

Declaration & POA (5 pgs.) (**Executed**)

Disclosure Docs & Org & Copy of Inventor's Signed Letter (____ pgs.)

Drawings. 3 # of sheets includes 3 figures

Express Mail No. EL617184517US Check No. 902

_____ Month(s) Extension of Time Amt: \$1,136.00

Information Disclosure Statement & PTO-1440 (4 pgs.) Check No. 903

Issue Fee Transmittal Amt: \$40.00

Notice of Appeal

Petition for Extension of Time

Petition for _____

Postcard

Power of Attorney (____ pgs.)

Preliminary Amendment (____ pgs.)

Reply Brief (____ pgs.)

Response to Notice of Missing Parts

Small Entity Declaration for Indep. Inventor/Small Business

Transmittal Letter, in duplicate

Fee Transmittal, in duplicate

Other Request And Certification Under 35 U.S.C. 122(b)(2)(B)(i)
 Copy of Postcard w/Express Mail Cert.
 One (1) Reference Cited.